

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)

Application Number	10064745
Filing Date	2002-08-12
First Named Inventor	BIRLE, JAMES
Art Unit	3628
Examiner Name	SOUGH, HYUNG SUB
Attorney Docket Number	MLCO.P-002

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KA	1	20050080706		2005-04-14	BIRLE	

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KA	1	WO 03/014885	IB		2003-02-20	BIRLE		<input type="checkbox"/>
KA	2	WO 2004/081748	IB		2004-09-23	WILLIAMS		<input type="checkbox"/>
KA	3	WO 01/80051	IB		2001-10-25	KUBIC		<input type="checkbox"/>

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	6	WO 03/013875	IB		2003-02-20	BIRLE		<input type="checkbox"/>
	7	WO 03/014886	IB		2003-02-20	GREEN		<input type="checkbox"/>
	8	WO 2004/104889	IB		2004-12-02	ABERMAN		<input type="checkbox"/>
	9	WO 2005/062224	IB		2005-07-07	REDMAYNE		<input type="checkbox"/>

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Examiner Name	
Attorney Docket Number	

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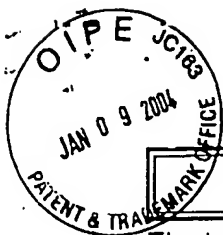
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ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18
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Title of Invention	Convertible financial instruments with contingent payments						
Application Number: 10/064745 							
Confirmation Number: 6610							
First Named Applicant: James Birle							
Attorney Docket Number: MLCO.P-002							
Search string: (20040006520).pn.							
US Published Applications							
Note: Applicant is not required to submit a paper copy of cited US Published Applications							
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<i>KA</i>	1	20040006520	2004-01-08	Birle, et al.			
Signature							
Examiner Name				Date			
<i>K. O. Appl</i>				<i>1/14/06</i>			

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Convertible financial instruments with contingent payments							
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Attorney Docket Number: MLCO.P-002							
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US Patent Documents							
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US Published Applications							
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KA	1	20020099640	2002-07-25	Lange, Jeffrey			
	2	20020147670	2002-10-10	Lange, Jeffrey			
	3	20030009406	2003-01-09	Ross, Ivan			
	4	20030115128	2003-06-19	Lange, et al.			
	5	20030163400	2003-08-28	Ross, et al.			
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Title of Invention	CONVERTIBLE FINANCIAL INSTRUMENTS WITH CONTINGENT PAYMENTS																																																		
<p>Application Number: 10/064745 Confirmation Number: 6610 First Named Applicant: JAMES BIRLE Attorney Docket Number: MLCO.P-002 Search string: (6347307 or 5742775 or 20020077961),pn</p> <p style="text-align: right;">RECEIVED OCT 17 2003 GROUP 3600</p> <p>US Patent Documents</p> <p>Note: Applicant is not required to submit a paper copy of cited US Patent Documents</p> <table border="1"><thead><tr><th>init</th><th>Cite.No.</th><th>Patent No.</th><th>Date</th><th>Patentee</th><th>Kind</th><th>Class</th><th>Subclass</th></tr></thead><tbody><tr><td><i>JA</i></td><td>1</td><td>6347307</td><td>2002-02-12</td><td>SANDHU ET AL</td><td></td><td></td><td></td></tr><tr><td><i>JA</i></td><td>2</td><td>5742775</td><td>1998-04-21</td><td>KING, DOUGLAS L.</td><td></td><td></td><td></td></tr></tbody></table> <p>US Published Applications</p> <p>Note: Applicant is not required to submit a paper copy of cited US Published Applications</p> <table border="1"><thead><tr><th>init</th><th>Cite.No.</th><th>Pub. No.</th><th>Date</th><th>Applicant</th><th>Kind</th><th>Class</th><th>Subclass</th></tr></thead><tbody><tr><td><i>JA</i></td><td>1</td><td>20020077961</td><td>2002-06-20</td><td>ECKERT ET AL</td><td></td><td></td><td></td></tr></tbody></table> <p>Signature</p> <table border="1"><thead><tr><th>Examiner Name</th><th>Date</th></tr></thead><tbody><tr><td><i>JA Apple</i></td><td><i>7/14/06</i></td></tr></tbody></table>								init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass	<i>JA</i>	1	6347307	2002-02-12	SANDHU ET AL				<i>JA</i>	2	5742775	1998-04-21	KING, DOUGLAS L.				init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass	<i>JA</i>	1	20020077961	2002-06-20	ECKERT ET AL				Examiner Name	Date	<i>JA Apple</i>	<i>7/14/06</i>
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<p>Application Number: 10/064745 Confirmation Number: 6610 First Named Applicant: James Birle Attorney Docket Number: MLCO.P-002 Search string: (20030093375).pn.</p> <p>RECEIVED JUL 23 2003 GROUP 3600</p> <p>US Published Applications</p> <p>Note: Applicant is not required to submit a paper copy of cited US Published Applications</p> <table border="1"><thead><tr><th>init</th><th>Cite.No.</th><th>Pub. No.</th><th>Date</th><th>Applicant</th><th>Kind</th><th>Class</th><th>Subclass</th></tr></thead><tbody><tr><td><input checked="" type="checkbox"/></td><td>1</td><td>20030093375</td><td>2003-05-15</td><td>Green, et al.</td><td></td><td></td><td></td></tr></tbody></table> <p>Signature</p> <table border="1"><tr><td>Examiner Name</td><td>Date</td></tr><tr><td><i>KID APT</i></td><td><i>7/14/03</i></td></tr></table>								init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass	<input checked="" type="checkbox"/>	1	20030093375	2003-05-15	Green, et al.				Examiner Name	Date	<i>KID APT</i>	<i>7/14/03</i>
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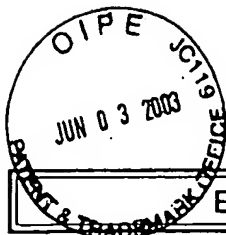


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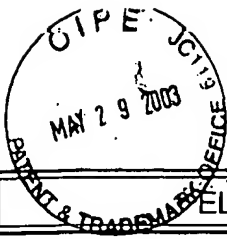


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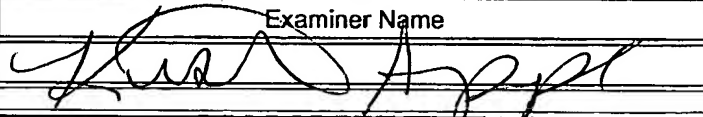
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Search string: (4648038 or 5704045).pn.							
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Note: Applicant is not required to submit a paper copy of cited US Patent Documents							
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	1	4648038	1987-03-03	Roberts, et al.			
	2	5704045	1997-12-30	King, et al.			
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GROUP 3600

Application No.: 10/064,745

Filing Date: August 12, 2002

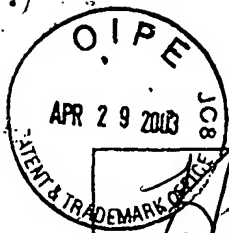
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






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Attorney Docket No.: MLCO.P002

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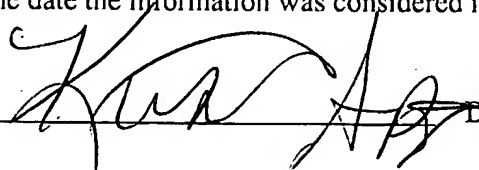
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KA	Bryant, Julie: "Open enrollment draws questions over choices"; Atlanta Business Chronicle: April 28, 2000
	Kollewe, Julia: "IRS APPROVES BOND PRODUCT CRITICIZED AS TAX DODGE, WSJ SAYS"; Bloomberg L.P., Bloomberg News: May 7, 2002, Tuesday 4:46 AM Eastern Time
	Fujita, Junko and Sheldrick, Aaron: "ORIX SELLS \$350 MILLION OF BONDS CONVERTIBLE TO STOCK"; Bloomberg L.P., Bloomberg News: May 28, 2002, Tuesday 11:14 PM Eastern Time
	Hahn, Avital Louria: "Amid Underwriting Blues, Merrill Sings A Merry Tune in Zero Convert Market: Firm earns \$112 million-plus in one day on a pair of jumbo zeros"; Investment Dealers' Digest: IDD PP: 3-4 Nov 20, 2000 ISSN: 0021-0080
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	Silverman, Gary: "Wall Street high on volatile alchemy: STOCK OPTIONS: Companies have created a source of low-cost funding from the volatility of shares but this entails risks, says Gary Silverman; The Financial Times Limited, Financial Times (London): June 15, 2001, Friday London Edition 1
	Farr, Lucy: "Contingent Convertibles"; Practical U.S./International Tax Strategies: 13 Feb 2002
	"THE 2001 DEALS OF THE YEAR"; Corporate Finance; Pg. 72: Euromoney Institutional Investor PLC; Institutional Investor: January, 2002
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	LJH Global Investments HedgeView, Perspectives on Absolute Return Strategies, September 2001, Pg. 2 Col. 3
	"Medtronic Announces Sale of 1.25 percent Contingent Convertible Debentures Due 2021"; Medtronic New Release, www.medtronic.com : July 28, 2002



	Stempel, Jonathan: "UPDATE: Medtronic Sells \$1.75 Billion Convertible Bonds"; Reuters: Sep 6, 2001
	"DESCRIPTION OF ABC SECURITIES"; Merrill Lynch, July 29, 1991
	"ARTICLE 11 CONVERSION"; Indenture, October 1, 1989
	"Part I Section 1275.--Other definitions and special rules 26 CFR 1.1275-4: Contingent payment debt instruments. (Also §§ 163, 249; 1.249-1.) Rev. Rul. 2002-31
	Offering Memorandum, Tyco, Liquid Yield Option Notes, November 14, 2000
	Offering Memorandum, SPX Corporation, Liquid Yield Option Notes, January 31, 2001
	Offering Memorandum, Danaher Corporation, Liquid Yield Option Notes, January 17, 2001
	WO 03/013875 Published February 20, 2003
	WO 03/014885 Published February 20, 2003
	WO 03/014886 Published February 20, 2003
	WO 03/023554 Published March 20, 2003

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Electronic Information Disclosure Statement



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Application:



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Confirmation: 6610

Applicant(s): James Birle

Docket Number: MLCO.P002

Group Art Unit: 3624

Examiner:

search string: (5062666 or 5440106 or 5970479 or 6012925 or 6105007 or 6321212 or 6418419 or 20010056392 or 20020099640).pn.

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US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Citation No.	Patent Number	Date	Bar Code	Patentee	Class	Subclass
	P01	5062666	1991-11-05		Mowrey, et al.		
	P02	5440106	1995-08-08		Duck, Thomas S.		
	P03	5970479	1999-10-19		Shepherd, Ian K.		
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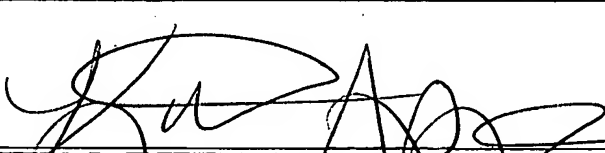
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Published Applications

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Citation No.	Patent Number	Date	Bar Code	Patentee	Class	Subclass
RA	U01	20010056392	2001-12-27		Daughtery, Vergil L. III		
RA	U02	20020099640	2002-07-25		Lange, Jeffrey		

Signature

Examiner Name	Date
	4/14/06